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Commissioner for Patents

P.O. Box 1450

Alexandria, Virginia 22313-1450

on 11-7-03

Evelyn Sanders
Evelyn Sanders

In re application of: **Bruce Layne et al.**U.S. Serial Number: **09/917,205**Filing Date: **07/30/2001**Our Reference Number: **560301-1420**Title: **Assembly for a Wedge Base Track Lamp Holder**Confirmation No.: **8321**Art Unit: **2875**Examiner: **Sember, T.**

Please find attached the following documents for filing with the U.S. Patent and Trademark Office:

Transmittal Form

Fee Transmittal

Credit Card Payment Form

Notice of Appeal

TOTAL NUMBER OF PAGES IN THIS TRANSMISSION - 5



PTO/SB421 (09-03)
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE
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| | | |
|--|------------------------|-------------------|
| TRANSMITTAL FORM <small>(to be used for all correspondence after initial filing)</small> | Application Number | 06/817205 |
| | Filing Date | 07/30/2001 |
| | First Named Inventor | Bruce Layne et al |
| | Art Unit | 2875 |
| | Examiner Name | Samber, Thomas M |
| Total Number of Pages In This Submission | Attorney Docket Number | 569301-1420 |

| ENCLOSURES (Check all that apply) | | |
|--|---|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form | <input type="checkbox"/> Drawing(s) | <input type="checkbox"/> After Allowance communication to Technology Center (TC) |
| <input checked="" type="checkbox"/> Fee Attached | <input type="checkbox"/> Licensing-related Papers | <input checked="" type="checkbox"/> Appeal Communication to Board of Appeals and Interferences |
| <input type="checkbox"/> Amendment/Reply | <input type="checkbox"/> Petition | <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final | <input type="checkbox"/> Petition to Convert to a Provisional Application | <input type="checkbox"/> Proprietary Information |
| <input type="checkbox"/> Affidavits/Declaration(s) | <input type="checkbox"/> Power of Attorney, Revocation | <input type="checkbox"/> Status Letter |
| <input type="checkbox"/> Extension of Time Request | <input type="checkbox"/> Change of Correspondence Address | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below) |
| <input type="checkbox"/> Express Abandonment Request | <input type="checkbox"/> Terminal Disclaimer | <input type="checkbox"/> Credit Card Payment Form |
| <input type="checkbox"/> Information Disclosure Statement | <input type="checkbox"/> Request for Refund | |
| <input type="checkbox"/> Certified Copy of Priority Document(s) | <input type="checkbox"/> CD, Number of CD(s) | |
| <input type="checkbox"/> Response to Missing Parts/Incomplete Application | Remarks | |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | | |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT | |
|--|---|
| Firm or Individual name | Glenn W. Brown, Reg. No. 51,310 Thomas, Kayden, Horstemeier & Risley LLP |
| Signature | <i>Glenn W. Brown</i> |
| Date | 11/6/03 |

| CERTIFICATE OF TRANSMISSION/MAILING | |
|---|-----------------------|
| I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. | |
| Typed or printed name | Evelyn Sanders |
| Signature | <i>Evelyn Sanders</i> |
| Date | 11-7-03 |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing the burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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FREE TRANSMITTAL **for FY 2004**

Effective 10/01/2003, Patent fees are subject to annual revisions.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT **(\$) 330.00**

Complete if Known
Application Number **09/917,205**
Filing Date **07/30/2001**
First Named Inventor **Bruce Layne et al.**
Examiner Name **Sember, Thomas M.**
Group / Art Unit **2875**
Attorney Docket No. **560301-1420**

METHOD OF PAYMENT (check all that apply)

☐ Check ☒ Credit Card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account

Deposit Account Number

20-0778

Deposit Account Name

Thomas, Kayden, Horstemeyer, Risley, L.L.P.

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments
☒ Charge any additional fee(s) during the pendency of this application
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FREE CALCULATION

1. BASIC FILING FEE

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|----------------------------|----------------------------|------------------------|----------|
| 1001 770 | 2001 385 | Utility Filing Fee | |
| 1002 340 | 2002 170 | Design Filing Fee | |
| 1003 530 | 2003 265 | Plant Filing Fee | |
| 1004 770 | 2004 385 | Reissue Filing Fee | |
| 1005 160 | 2005 80 | Provisional Filing Fee | |
| SUBTOTAL (1) (\$) | | | |

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|----------------------------|----------------------------|--|----------|
| 1201 88 | 2201 43 | Claims in excess of 20 | |
| 1202 18 | 2202 9 | Independent claims in excess of 3 | |
| 1203 290 | 2203 145 | Multiple dependent claims, if not paid | |
| 1204 86 | 2204 43 | *Reissue independent claims over original patent | |
| 1205 18 | 2205 9 | *Reissue claims in excess of 20 and over original patent | |
| SUBTOTAL (2) (\$) | | | |

*or number previously paid, if greater; For Reissues, see below

FEES CALCULATION (continued)

| 3. ADDITIONAL FEES | Small Entity Fee (\$) | Fee Description | Fee Paid |
|---------------------|-----------------------|--|----------|
| 1051 130 | 2051 65 | Surcharge-rate filing fee or cash | |
| 1052 50 | 2052 25 | Surcharge-rate provisional filing fee or cover sheet | |
| 1053 130 | 2053 65 | Non-English specification | |
| 1812 2,520 | 1812 2,520 | For filing a request for ex parte reexamination | |
| 1804 920* | 1804 920* | Requesting publication of SPIR prior to Examiner action | |
| 1805 1,840* | 1805 1,840* | Requesting publication of SPIR after Examiner action | |
| 1251 110 | 2251 55 | Extension for reply within first month | |
| 1252 420 | 2252 210 | Extension for reply within second month | |
| 1253 950 | 2253 475 | Extension for reply within third month | |
| 1254 1,480 | 2254 740 | Extension for reply within fourth month | |
| 1255 2,010 | 2255 1,005 | Extension for reply within fifth month | |
| 1401 330 | 2401 165 | Notice of Appeal | 330.00 |
| 1402 330 | 2402 165 | Filing a brief in support of an appeal | |
| 1403 290 | 2403 145 | Request for oral hearing | |
| 1451 1,510 | 1451 1,510 | Petition to institute a public use proceeding | |
| 1452 110 | 2452 55 | Petition to revive unwithdrawn | |
| 1453 1,330 | 2453 665 | Petition to revive unintentional | |
| 1501 1,330 | 2501 665 | Utility issue fee (or reissue) | |
| 1502 480 | 2502 240 | Design issue fee | |
| 1603 540 | 2503 270 | Plant issue fee | |
| 1400 130 | 1400 130 | Petitions to the Commissioner | |
| 1807 50 | 1807 50 | Processing fee for provisional application | |
| 1806 180 | 1806 180 | Submission of information | |
| 8021 40 | 8021 40 | Disclosure Sheet | |
| 1809 770 | 2809 385 | Recording each patent assignment per property (times number of properties) | |
| 1810 770 | 2810 385 | Filing a submission after final rejection (37 CFR § 1.126(a)) | |
| 1811 770 | 2801 385 | Request for Continued Examination (RCE) | |
| 1802 900 | 1802 900 | Request for expedited exam. of a design application | |
| Other fee (specify) | | | |
| SUBTOTAL (3) (\$) | | | 330.00 |

*Reduced by Basic Filing Fee Paid

| | | | |
|--|-----------------------------------|---|------------------------|
| SUBMITTED BY | | Complete if Applicable | |
| Typed or Printed Name Glenn W. Brown | Registration No. 51,310 | Telephone Number 770-933-8500 | Date 11/6/03 |
| Signature <i>Glenn W. Brown</i> | | | |

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This collection of information is required by 37 CFR 1.17 and 1.27. This information is required to obtain or retain a benefit by the public which is to be (and by the USPTO to process) an application. The collection is governed by 37 USC 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including reviewing, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the accuracy of this time estimate to complete this form should be sent to the Chief Information Officer, USPTO, Washington, DC 20503. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, 22231-1420.

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PTO/SB/31 (08/03)

Approved for use through 07/31/2006. OMB 0851-0016

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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NOTICE OF APPEAL FROM THE EXAMINER TO THE BOARD OF PATENT APPEALS AND INTERFERENCES

Docket No. (Optional):
560301-1420

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In re Application of
Bruce Layne et al.

Application Number
09/917,205

Filed
07/30/2001

For
Assembly for a Wedge Base Track Lamp Holder

Group Art Unit
2876

Examiner
Sember, Thomas M.

11-7-03

Evelyn Sanders
Signature - Evelyn Sanders

Applicant hereby **appeals** to the Board of Patent Appeals and Interferences from the last decision of the examiner.

The fee for this Notice of Appeal is (37 CFR 1.17(b))

\$ 330.00

- ☐ Applicant claims small entity status. See 37 CFR 1.27. Therefore, the fee shown above is reduced by half, and the resulting fee is: \$
- ☒ A check in the amount of the fee is enclosed.
- ☐ Payment by credit card. Form PTO-2038 is attached.
- ☐ The Commissioner has already been authorized to charge fees in this application to a Deposit Account. I have enclosed a duplicate copy of this sheet.
- ☐ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. I have enclosed a duplicate copy of this sheet.
- ☐ A petition for an extension of time under 37 CFR 1.136(a) (PTO/SB/22) is enclosed.

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I am the

- ☐ applicant/inventor.
- ☐ assignee of record of the entire interest.
See 37 CFR 3.71. Statement under 37 CFR 3.73(b)
is enclosed. (Form PTO/SB/96)
- ☒ attorney or agent of record.
- ☐ Attorney or agent acting under 37 CFR 1.34(a).
Registration No. If acting under 37 CFR 1.34(a)

Signature

Glenn W. Brown
Glenn W. Brown, Reg. No. 51, 310

Date

11/6/03

Note: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ Total of forms are submitted.

This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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